



2006

# 21st Century Museum Professionals Grants

*Application Deadline: March 15, 2006*

*Guidelines and fill-in forms are available at [www.imls.gov](http://www.imls.gov)*

# 21<sup>st</sup> CENTURY MUSEUM PROFESSIONALS

## *Grant Application and Information*

Fiscal Year 2006

### **What is IMLS?**

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by an Act of Congress in 1996 to improve museum, library, and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate federal library programs, stimulate excellence, and promote access to resources in all types of libraries for individuals of all ages to promote library services that provide access to information through electronic networks; to provide linkages among and between libraries; and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to states and through discretionary programs. For many museums, IMLS is the only source of federal support. The National Museum and Library Services Board, a presidentially appointed body confirmed by the Senate, provides policy advice to the Director of IMLS.

### **For more information call or write:**

Institute of Museum and Library Services  
1800 M Street, NW  
9th Floor  
Washington, DC 20036-5802  
(202) 653-4657

E-mail: [imlsinfo@imls.gov](mailto:imlsinfo@imls.gov)  
Web site: <http://www.imls.gov>

TDD (for hearing impaired people): (202) 653-4699

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

### **Burden estimate and request for public comments**

Public reporting burden for this collection of information is estimated to average 35 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comment regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1800 M Street NW, 9th Floor, Washington, DC 20036-5802; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0057), Washington, DC 20503.

CFDA No. 45.307



Dear Colleagues,

It is great pleasure to present the guidelines for the 21st Century Museum Professionals grant program. Leadership is one of the most significant challenges facing museums today.

While IMLS has long supported professional development activities, this program launches a new approach. It will support museum professional associations, universities, and individual museums in creating and strengthening programs for professional development. Its focus is keeping pace with the evolving needs of museum professionals.

New technology, changing demographics, and evolving economic models impact all museum professionals, whether on the front lines, behind the scenes, or in senior leadership positions. The public value of our institutions is dependent on a well-prepared and well-supported workforce.

We look forward to working with the museum community to develop a workforce that is ready to provide the highest-quality museum services to the broadest possible public.

Sincerely,

Mary L. Chute  
Acting Director



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**GENERAL  
INFORMATION**

## The Opportunity: To Enhance the Skills of Museum Professionals

Museums play a critical role in the education of the public in the United States by preserving America's rich cultural heritage and helping to transmit it from one generation to the next. Museum professionals need high levels of knowledge and expertise as they help to create public value for both local and national communities. The purpose of the 21st Century Museum Professionals program is to increase the capacity of museums to create and sustain a nation of learners by improving museum staff knowledge and skills in the range of museum operations. The anticipated result of having a more knowledgeable and skilled workforce is that museums will improve the value they provide to their communities.

IMLS supports this purpose by providing grants that help museum professionals acquire, improve, and maintain their knowledge of and skills for museums operations and apply this increased knowledge and skill to their work. This grant program proudly address an opportunity to serve challenges faced by museum professionals in an era of increased audience expectations, diverse audiences with diverse needs, greater access to collections and the information they hold, evolving collection care standards and other demands.

21st Century Museum Professionals grants support a range of activities, including professional training and leadership development for museum staff at all types of museums, as well as training in all areas of museum operations, including, but not limited to, interpretation, collections care, conservation, museum management, or financial management. For more information, please contact the IMLS Office of Museum Services at (202) 653-4789.

A successful proposal will have one or more of the following characteristics:

- creates and delivers resources to assist the development of museum leaders
- delivers information on how to improve staff practices in operating museums
- develops or promotes uses of technology that improve the ability of staff to perform museums' operations and meet museum missions and goals
- develops, documents, and disseminates professional development programs that address the needs of museum professionals in small museums

Projects funded in the 21st Century Museum Professionals program should reach broad groups of museum professionals, throughout a city, county, state, region, or the nation and increase their capacity to serve their audiences. "Museum professionals" includes both paid and unpaid museum staff. 21st Century Museum Professionals projects should reach multiple institutions and diverse audiences. Training for an individual museum professional or for staff at a single museum will be supported, but proposals must meet the grant program's goals of increasing both museum professionals and their institutions' capacity to serve their communities.

## Eligibility

### WHO MAY APPLY

- An applicant must
- be either a unit of state or local government or private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
  - be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
  - qualify as one of the three types of organizations listed below:
    1. A museum<sup>1</sup> that, using a professional staff,<sup>2</sup> (1) is organized on a permanent basis for essentially educational or aesthetic purposes, (2) owns or uses tangible objects, either animate or inanimate, (3) cares for these objects, and (4) exhibits these objects to the general public on a regular basis through facilities that it owns or operates.<sup>3</sup>

Please note that a museum located within a parent organization that is a state or local government or multipurpose not-for-profit entity, such as a municipality, university, historical society, foundation, or a cultural center, may apply on its own behalf if the museum (1) is able to independently fulfill all the eligibility requirements listed above, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make the application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization, and the parent organization may submit a single application for one or more of its museums.

2. A museum service organization or association<sup>4</sup> that engages in activities designed to advance the well-being of museums and museum professionals, and institutions of higher education.
3. An institution of higher education, including public and nonprofit universities.

1 Museums include, but are not limited to, aquariums, arboretums, art museums, botanical gardens, children/youth museums, general museums (those having two or more significant disciplines), historic houses/sites, history museums, natural history/anthropology museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single distinct subject), and zoological parks.

2 An institution uses a professional staff if it employs at least one professional staff member, or the fulltime equivalent, whether paid or unpaid, primarily engaged in the acquisition, care, or exhibition to the public of objects owned or used by the institution.

3 An institution exhibits objects to the general public if such exhibition is a primary purpose of the institution. Further, an institution which exhibits objects to the general public for at least 120 days a year shall be deemed to exhibit objects to the general public on a regular basis.

An institution that exhibits objects by appointment may meet the requirement to exhibit objects to the general public on a regular basis, if it can establish, in light of the facts under all the relevant circumstances, that this method of exhibition does not unreasonably restrict the accessibility of the institution's exhibits to the general public.

An institution that does not have as a primary purpose the exhibition of objects to the general public but that can demonstrate that it exhibits objects to the general public on a regular basis as a significant, separate, distinct, and continuing portion of its activities, and that it otherwise meets the museum eligibility requirements, may be determined to be eligible as a museum under these guidelines. For more information, please see 45 C.F.R. Part 1180.3(d)(2).

4 A friends group associated with a single museum is not an eligible applicant.

## Partnerships

Partnerships may strengthen applications submitted to this program, if they are appropriate to the project. Partnerships are not required in this program. If an applicant chooses to work in partnership with other organizations, IMLS encourages partnerships that are on a scale sufficient to address the broadest possible needs, including statewide and regional collaborations. An application may include one or more partners. The lead applicant in a partnership must be eligible to apply as an individual entity and all members of a partnership should be active contributors to and beneficiaries of project activities.

The members of the partnership shall either designate one member of the partnership to apply for the grant or establish a separate, eligible legal entity, consisting of the partnership members, to apply for the grant. The designated applicant must be eligible to apply as an individual entity. Any group application must contain a signed Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with its application. A sample Partnership Statement is on page 5.14.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the partnership in accordance with applicable federal laws, regulations, and requirements. The lead applicant must be the fiscal agent but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with applicable federal laws, regulations, and requirements.

A parent organization controlling multiple museums or libraries which are not autonomous but which are otherwise eligible may submit applications on behalf of one or more of the eligible institutions. Two organizations under the same administrative authority and operational control, however, may not serve as the sole partner applicants in a category that requires a partnership.

## Data Universal Numbering System (DUNS)/ Taxpayer Identification Number (TIN)

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### DUNS

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget (OMB) has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet DUNS number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1 (866) 705-5711 or by visiting [www.dnb.com/us](http://www.dnb.com/us). Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or nonprofit organization they may operate are exempt from this requirement.

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**TIN**

The TIN is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA, whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal tax identification number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If an organization does not have a DUNS number and a TIN, the application will be rejected.

## Conditions of a Grant

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**DURATION  
OF A GRANT**

Generally, project activities supported by the 21st Century Museum Professionals program may be carried out for a period of up to 36 months.

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**PROJECT  
START DATE**

Projects may begin no earlier than October 1, 2006, and no later than December 1, 2006. Projects must begin on the first day of the month.

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**AMOUNT  
OF GRANT**

21st Century Museum Professionals grants range from \$15,000 to \$500,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

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**COST  
SHARING**

Project cost must be matched 1:1 through cost sharing by the applicant. Applicants must provide at least one-half of the total cost of the project from non-federal sources. These costs may be supported by the grantee's cash outlays, including cash contributions from third parties that are used to support project costs, the value of the grantee's contributions of property and services to the project, and third-party in kind contributions that are used to support project activities. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment, and services. If any funds are to be contributed as cost sharing by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe the plan for meeting the promised cost share from other sources in

the event that the pending funds are not received. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply, including appropriate OMB circulars.

## USE OF FUNDS

A 1:1 match through cost sharing by the applicant is required in each category. All applications must demonstrate evidence of institutional strategic planning and relate the proposed project to the institution's plan. Projects should be investments in the organization that will have long-term institutional impact, not one-time activities. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing or as specified in applicable OMB circulars. All listed expenses must be incurred during the grant period. Government-wide uniform administration rules and requirements apply, including appropriate OMB circulars.

For a list of eligible and non-eligible costs, please see below.

## ELIGIBLE COSTS

- Eligible costs include but are not limited to
- staffing
  - costs related to planning and maintenance of project partnerships
  - purchase of equipment, materials, supplies, or services
  - staff training
  - program development and implementation
  - exhibition design and fabrication
  - integration of technology into exhibition or educational programs
  - costs associated with evaluation of grant programs or activities
  - research
  - publication
  - indirect or overhead costs (see page 3.6 – 3.7)
  - activities assisting in achieving intellectual control over the collection, including inventory, daily maintenance, numbering, and cataloging

## NON-ELIGIBLE ACTIVITIES AND COSTS

- Non-eligible costs include but are not limited to
- Contributions to endowment funds.
  - Acquisition of objects for collections.
  - Costs of social activities, ceremonies, and other entertainment.
  - Pre-award costs (costs incurred prior to the effective date of the grant).
  - Construction and renovation of facilities. Generally any activity involving contract labor in the construction trades is not an allowable cost. Exhibits fabrication can be an allowable cost. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff immediately.
  - Collection conservation activities, including the purchase of storage equipment such as shelving, installation of collections HVAC systems, creation of collections storage facilities, object treatment, collections surveys, or historic structure renovation (for these activities, please see IMLS Conservation Project Support Guidelines for possible eligibility).

- Exhibit fabrication that includes creation of large-scale permanent structures for animals or objects that would involve contract labor of the construction trades. If you have a question about the eligibility of the scope of your exhibition activities, please call IMLS staff immediately.
- General museum fundraising costs, such as development office staff or other staff time devoted to general fundraising. Applicable government-wide cost principles are listed in 45 C.F.R. Section 1180.10 (a) (IMLS regulations), available upon request.

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**COPYRIGHT/  
WORK  
PRODUCTS**

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval from IMLS for another arrangement. With written permission, the recipient may copyright any work that is subject to copyright and was developed under an award or for which ownership was purchased. IMLS reserves, for federal government purposes, a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that grantees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a Beta version of software developed on an IMLS-funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects. Metadata for digital collections must be provided for the IMLS digital collection registry.

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**ANNOUNCEMENT  
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in mid-September 2006.

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**PAYMENT,  
ACCOUNTING,  
AND  
REPORTING  
PROCEDURES**

A federal accounting office handles the payment of 21st Century Museum Professionals. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of OMB audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply, including appropriate OMB circulars.

Grant recipients are required to submit six month performance reports as well as annual financial reports. They are also required to submit a final performance report and a final financial report at the end of the grant period.

## Application Review and Evaluation

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### REVIEW PROCESS

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation (see Eligibility, page 1.3). Incomplete applications are subject to rejection without evaluation. If an application is rejected, the applicant will be notified by mail.

Institutions may submit only one proposal at the 21st Century Museum Professionals grants deadline. An institution may apply as a lead applicant in one category and serve as a partner on other applications without jeopardizing its chances of funding.

All eligible and complete applications will be competitively reviewed. All eligible applications for 21st Century Museum Professional grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and projects under review, and will be drawn from professionals in the field and from the areas of expertise required. The IMLS Director will make funding decisions based on the evaluations by reviewers, the types of projects encouraged by IMLS, and the overall goals of the 21st Century Museum Professional grants program and of IMLS.

Reviewers are instructed to evaluate the proposed projects according to the criteria identified in these guidelines (pages 2.2-2.3). Applicants should address all criteria in the Application Narrative, as supported by any appropriate attachments and support material.

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### PROJECT EVALUATION

IMLS expects that most 21st Century Museum Professionals grant activities will have measurable results, and IMLS expects grantees to evaluate and report on these results. IMLS supports and encourages the use of an evaluation tool called Outcomes Based Evaluation (OBE) when it is appropriate for the type of project to be conducted. Additional information about OBE is available on the IMLS Web site at [www.imls.gov/grants/current/crnt\\_obc.htm](http://www.imls.gov/grants/current/crnt_obc.htm) or upon request from IMLS. IMLS provides a two-day course on OBE for recipients of 21st Century Museum Professionals grants. Applicants are required to request travel funds to attend this training and other IMLS-designated meetings. Applicants should budget \$2,000 per project for this IMLS-designated travel, or \$4,000 per project for partnership projects.



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**COMPLETING  
THE  
APPLICATION  
NARRATIVE**

## Application Evaluation Criteria

A well-designed proposal narrative is thorough and succinct while addressing all the following evaluation criteria. These criteria must be addressed in the order presented and must be labeled with number and/or section title to guide reviewers in their evaluation.

As stated in “Preparing Your Application” (page 3.2), the application narrative must address the evaluation criteria in the order presented here, with each response numbered, and must

- be on 8.5- by 11-inch paper
- have a margin of at least .5 inch on all sides
- be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- conform to the seven-page limit
- have page numbers on each page, front and back if double-sided pages are used

### NARRATIVE EVALUATION CRITERIA

#### 1. TARGET AUDIENCE NEEDS

Describe the project’s intended audience and the audience needs that the project serves. Discuss how the project benefits this audience of museum professionals or will improve this audience’s delivery of museum services or operations.

**Review Criteria:** Evidence that the project designers identified an audience, performed a formal or informal assessment of their needs, and designed this project as the best solution to answer those needs.

#### 2. PROJECT DESIGN

Describe the scope of the project. Discuss overall project goals and objectives, the project planning process, the specific activities to implement the project, and the expected results.

**Review Criteria:** Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. If the project includes partnerships, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

#### 3. PROJECT RESOURCES: TIME, PERSONNEL, BUDGET

Describe the allocation of time to complete project activities for the project’s implementation. Describe personnel who will complete project activities, and discuss their qualifications and commitment to the project activities, particularly if they have other, ongoing duties. Discuss the budget allocated to accomplish project activities. Describe both the applicant’s contributions to the project budget and how the applicant will meet the match requirement. If the project includes a partnership, discuss contributions to and benefits from the project for both the applicant and partner organizations.

**Review Criteria:** Evidence that the applicant will effectively complete the project activities through the deployment and management of resources, including money,

facilities, equipment, and supplies. Evidence of sound financial management, coupled with an appropriate and cost efficient budget that uses appropriate resources to fulfill the matching requirement. Evidence that the project personnel demonstrate appropriate experience and expertise and can commit adequate time to accomplish project goals and activities. Reviewer evaluation will include Narrative, Budget Justification, Budget Forms, and Resumes.

#### 4. IMPACT AND EVALUATION

Describe how the project addresses issues that concern the museum field and will affect museum professionals. Describe specific outcomes that will result from the project. Describe the design, integration, and implementation of an assessment method that will measure project outcomes, findings, or products (depending on project goals).

**Review Criteria:** Degree to which the project reflects an understanding of current issues related to museum services. Extent to which the project has one or more of the following characteristics:

- The project reflects an understanding of museum service needs by the constituents and communities served by the applicant(s) and addresses issues appropriate to those individuals or organizations.
- The project is likely to contribute to results or products that will benefit multiple institutions and diverse constituencies.
- The project will result in increased knowledge and skills for museum staff, leading to improved practice.
- The project will have an impact on the professional development of a significant number of practicing or future museum professionals.

Evidence that evaluation will provide reliable information on which to judge impact or base actions. Evidence that the evaluation measures are tied directly to project goals.

#### 5. SUSTAINABILITY

Describe how the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, development of institutional expertise and capacity, or through broad access to project findings.

**Review Criteria:** Extent to which the project will continue to benefit the museum field after the end of the grant period.

## Guidance for Projects that Develop Digital Products

### INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, include a description of the subject matter and its significance, including relationships to related digital content. Explain how the material to be included in the project was or will be selected. Describe the additional value that any digital conversion or repurposing will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover any new digital material. The application also includes a form, *Specifications for Projects That Develop Digital Products* (page 5.10), which must be completed and submitted with the application.

### INTEROPERABILITY

Project design should demonstrate the use of existing standards and best practices for digital material where applicable; project products should be interoperable with other digital content. Grantees creating digital collections are expected to participate in the IMLS Digital Collections Registry currently operated by the University of Illinois at Urbana Champaign. The Grainger Library has created a registry and a metadata repository of collections digitized with IMLS funding. (See the project site at <http://imlsdcc.grainger.uiuc.edu/about.htm>).

### DIGITIZATION PLANS

Projects that include digital conversion are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application.

### RESOURCES FOR DIGITAL PROJECTS

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning a digital project, which is now maintained by the National Information Standards Organization. Available at [www.niso.org/framework/Framework2.html](http://www.niso.org/framework/Framework2.html), this document contains links to many Web sites with useful information for planning and implementing digital projects. IMLS offers a wealth of information, including lists of digital projects funded, at the Digital Corner on the IMLS Website at: [www.imls.gov/digitalcorner/index.htm](http://www.imls.gov/digitalcorner/index.htm).

The list of resources below is to assist you in learning more about digital projects and is neither exhaustive nor an endorsement of any particular resource:

### TRAINING

Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only – check the general resource lists above for leads to more training opportunities and the topic lists below for training resources in specific subject areas.

- <http://www.library.cornell.edu/preservation/tutorial/contents.html> *Moving Theory into Practice: Digital Imaging Tutorial*, by Cornell University Department of Preservation and Collections Maintenance.
- [http://www.solinet.net/digital\\_services/ds\\_templ.cfm?doc\\_id=2506](http://www.solinet.net/digital_services/ds_templ.cfm?doc_id=2506) SOLINET (Southeastern Library Network) offers training in digital imaging, copyright, digital preservation, and other related topics.
- <http://www.oclc.org/education/workshops/default.htm> OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright and other topics related to digitization.

**GENERAL**

- <http://www.cdphheritage.org/resource/index.html> - The Collaborative Digitization Program's web site (born as the Colorado Digitization Project) has a site devoted to resources that includes information about copyright, metadata, digitization standards, audio materials, and administrative concerns.
- <http://memory.loc.gov/ammem/ftpfiles.html> : *Building Digital Collections: Technical Information and Background Papers* – Library of Congress American Memory Project
- <http://www.archives.gov/research/arc/techguide-raster-june2004.pdf>  
*Technical Guidelines for Digitizing Archival Materials for Electronic Access: Creation of Production Master Files – Raster Images*  
by Steven Puglia, Jeffrey Reed, and Erin Rhodes, U.S. National Archives
- <http://library.amnh.org/diglib/index.html> - The American Museum of Natural History's Digital Library Project web site has information on and links to resources on many topics such as planning, standards, and digital resources management.
- <http://sunsite.berkeley.edu/imaging> - *Digitizing Images and Text* The Berkeley Digital Library portal links to resources on digitization projects, resources, and tools.
- <http://www.maine-memory.net/home.shtml> - The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- <http://images.library.uiuc.edu/resources/links.htm> - University of Illinois, Urbana Champaign, Digital Imaging and Media Technology Initiative provides resources about many topics including a listing of current imaging programs, organizations, and committees.
- <http://www.chin.gc.ca/English/index.html> - The Canadian Heritage Information Network has information on creating and managing digital content.
- <http://www.nedcc.org/digital/tofc.htm> - *Handbook for Digital Projects: A Management Tool for Preservation and Access* This Northeast Document Conservation Center site offers nine chapters of a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- <http://www.diglib.org/publications.htm> - The Digital Library Federation has publications on a range of topics including digital image management and preservation.
- [http://www.rlg.org/en/page.php?Page\\_ID=12081](http://www.rlg.org/en/page.php?Page_ID=12081) – The Research Library Group's *DigiNews*, a bimonthly web-based newsletter.
- <http://www.asis.org/Bulletin/Jun-04/index.html>  
*Bulletin of the American Society for Information Science and Technology*, Vol. 30, No. 5 June/July 2004, special section about on-line museum information.
- <http://lists.mdch.org/bin/listinfo/digistates> DigiStates on-line discussion list for people working on collaborative statewide projects for the digitization of cultural heritage resources

**METADATA**

- [http://www.niso.org/standards/resources/Metadata\\_Demystified.pdf](http://www.niso.org/standards/resources/Metadata_Demystified.pdf) - *Metadata Demystified*, by Amy Brand, Frank Daly, and Barbara Meyers (Sheridan Press and NISO Press, 2003)
- [http://www.getty.edu/research/conducting\\_research/standards/intrometadata/index.html](http://www.getty.edu/research/conducting_research/standards/intrometadata/index.html) - *Introduction to Metadata: Pathways to Information*, edited by Murtha Baca, (Getty Research Institute, 2000).
- [http://www.rlg.org/en/page.php?Page\\_ID=214](http://www.rlg.org/en/page.php?Page_ID=214) - The Research Library Group's *Descriptive Metadata Guidelines for RLG Cultural Materials*

- <http://oai-best.comm.nsdll.org/cgi-bin/wiki.pl?TableOfContents> Digital Library Federation/National Science Digital Library *Best Practices for OAI Data Provider Implementations and Shareable Metadata*
- <http://www.utah.edu/cpbmetadata/PBCore/>.  
*BCore: Public Broadcasting Metadata Dictionary* for public broadcasters' television, radio, and web activities.

#### **PRESERVATION OF DIGITAL MATERIAL**

- [http://www.library.cornell.edu/iris/tutorial/dpm\\_](http://www.library.cornell.edu/iris/tutorial/dpm_) - *Digital Preservation Tutorial*, by Cornell University Department of Preservation and Collections Maintenance.
- <http://www.dlib.org> – *D-Lib Magazine* has many articles on preservation of digital materials.

#### **INTELLECTUAL PROPERTY**

- [www.umuc.edu/distance/odell/cip](http://www.umuc.edu/distance/odell/cip) - Center for Intellectual Property and Copyright in the Digital Environment by the Office of Distance Education and Lifelong Learning at the University of Maryland University College
- <http://www.iupui.edu/~copyinfo> - Copyright Management Center (CMC) Indiana University - Purdue University Indianapolis

#### **UNIVERSAL ACCESS**

- <http://www.w3.org/WAI/> - The World Wide Web Consortium's guidance and resources on web accessibility for people with disabilities.
- <http://trace.wisc.edu/world/web> - *Designing More Usable Web Sites* The Trace Center presents resources on universally accessible web guidelines, compliance with Section 508, and forums for discussing accessibility issues.
- <http://webaim.org/> - WebAIM is a non-profit organization within the Center for Persons with Disabilities at Utah State University.

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**PREPARING  
THE  
APPLICATION**

## Preparing Your Application

### FORMAT

- All application materials must
- be on 8.5- by 11-inch paper
  - have a margin of at least .5 inch on all sides
  - be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
  - have page numbers on each page, front and back if double-sided pages are used

An application requesting 21st Century Museum Professionals grant support should include the following materials organized in the order listed. Following this list is a description and reference pages for each piece of the application.

1. Face Sheet
2. 21st Century Museum Professionals Information Form
3. Application Checklist
4. Narrative (not to exceed seven pages); each evaluation criterion is numbered and labeled
5. Schedule of Completion
6. Project Budget (Summary, Detailed, and Budget Justification)
7. Current federally negotiated rate for indirect costs, if applicable
8. Specifications for Projects that Develop Digital Products, if applicable
9. Proof of Non-profit Status, if applicable
10. Partnership Statement, if applicable
11. Organizational Profile(s)
12. List of key project staff and consultants
13. Resume(s) for key project personnel (not to exceed two pages per person)
14. Letters of Commitment
15. Attachments (see page 3.11 for more information)

The applicant must submit one original with original signature(s) of authorizing official plus ten copies of the entire application (1 + 10 = 11), plus two additional copies of the Face Sheet. Please do not use staples to fasten the original and each copy of the application. Please use binder clips or other removable binding systems. Do not place the original or copies in binders or notebooks.

### ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for recreation of IMLS application forms. Note that the forms cannot be submitted electronically, but may be completed online and then printed on the applicant's printer and shipped. Caution: the forms cannot be saved by most versions of Adobe Acrobat, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit [www.imls.gov/grants/appl/index.htm](http://www.imls.gov/grants/appl/index.htm). Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms. To save one of the forms as a PDF **you must use Adobe Acrobat Approval or the full Acrobat Standard or Professional Programs**. (Acrobat Approval is no longer available for purchase, but existing versions will work.) Please note that the free Acrobat Reader does not allow you to save your work or attach the document.



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**FACE SHEET**

The Face Sheet and 21st Century Museum Professionals information form are provided as pages 5.3 to 5.6 in the Application Forms section of this document. Use or replicate this form. These pages are available as a fill-in form on the IMLS Web site.

**Face Sheet and 21<sup>st</sup> Century Museum Professionals Information Forms**  
**Instructions**

**1) Applicant Organization**

Enter the legal name of the organization that is making the application, and its mailing address, Web address, DUNS and TIN numbers. Please make sure to include the zip + 4 and the congressional district in this address. To find your zip + 4 code, please go to <http://zip4.usps.com/zip4/welcome.jsp>. To find your congressional district please go to [www.house.gov](http://www.house.gov) and enter the address, including the zip + 4. If a museum or other eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity, enter the name of the museum or other eligible entity in the space provided on the 21st Century Museums Professionals information form, page 5.5, number 1, for the organizational unit.

**2) Project Information**

Enter a project title, brief description, and grant period start and end dates.

**3) Project Director**

Enter the name, address, and contact information of the person (Project Director) who will be responsible for carrying out the project and who will serve as the primary contact with IMLS regarding the progress achieved under the grant.

**4) Primary Contacts/Grants Administrator**

If the Project Director performs all the grant administration tasks as well, check the "Same as Project Director" box and go to the next item. If your institution has someone separate from the Project Director who manages the grant administration tasks, fill in that person's information here.

**5) Type of Applicant**

Select the one code that most accurately describes your institution.

**6) Authorized Official/Authorizing Representative**

Enter the name, address, and contact information of the person (Authorized Representative/ Authorizing Official) who has the authority to apply for federal support of the institution's activities and enter into legal agreements in the name of the institution. (In those rare instances when a person who would normally serve as the Authorized Representative/Authorizing Official is the project director, the name, title, address, etc., of the person to whom the project director reports—e.g., the Board Chair should be entered here and that person should sign the application.) **These must be two different individuals.** All written correspondence will be sent to the Authorized Representative/Authorizing Official.

## 21ST CENTURY MUSEUM PROFESSIONALS INFORMATION FORM

The 21st Century Museum Professionals Information Form is provided on pages 5.5 to 5.6 in the application forms section of this document. These pages are available as a fill-in form on the IMLS Web site.

### 1) Legal Name/Organizational Unit

Enter the legal name of the applicant. If the museum is not able to apply for grants on its own behalf, then enter the name and address of the museum in the Organizational Unit. For example, if a museum that is part of a parent organization, such as a university, is applying, the university would be the legal applicant, and the museum would be entered as the organizational unit.

### 2) Type of Organization

Enter the most appropriate type for the applicant organization.

### 3-6) Staff

Enter the number of full-time and part-time paid or unpaid staff.

### 7) Operating Income

Enter the organization's two most recent non-federal operating income and corresponding year. If the institution has a budget surplus or deficit, a one-page explanation must be attached.

### 8-9) Total Amount Requested/Cost Share

Enter the museum's grant amount request and cost share.

### 10) Official Partners

Names of any organizations that are official partners of the project.

### 11) Summary of Project Activities

Enter a description of all project activities.

## APPLICATION CHECKLIST

The Checklist is provided as page 5.2 in the Application Forms section of this document. Use the Checklist to help you arrange the sections of the application in the correct order.

## NARRATIVE

The Narrative is the section that describes your project. It should explain what need the grant activities will meet and provide sufficient information for reviewers to evaluate all criteria. The Narrative

- identifies grant activities, addressing the Narrative Evaluation Criteria listed on pages 2.2–2.3
- has each narrative criterion labeled and numbered
- answers each criterion in the order listed on pages 2.2–2.3
- Does not include detailed budget discussions. These should be included in Budget Justification section (see page 3.7)
- is legible so that reviewers can easily read the information you provide. IMLS recommends that you produce the Narrative using a word processing system.
- Handwritten applications will not be accepted.
- Is no more than seven single-spaced, one-sided pages in length.

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**SCHEDULE  
OF  
COMPLETION**

- A schedule of completion is a graph or list that
- Shows when each major project activity will be completed; project activities must begin between October 1, 2006, and December 1, 2006.
  - Should correspond to the activities described in the Narrative.
  - When showing an ongoing project or program, differentiates between IMLS-funded portions and portions funded before or after the IMLS project begins.
  - Indicates the milestones for completion of each major project activity as illustrated by the sample on page 5.13. The applicant need not follow the sample format but should provide the same type of information.

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**BUDGET**

The IMLS 21st Century Museum Professionals Grant application includes three elements to describe the costs of a proposed project: a Summary Budget form that describes costs for the entire project, a Detailed Budget form for each year of the project, and a Budget Justification that explains all components of the Detailed Budget form.

**1. SUMMARY BUDGET**

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, by any partners, and from any other sources in the cost-share column. This page is available as an electronic fill-in form on the IMLS Web site (see page 3.2) or may be recreated using the same format.

IMLS has provided instructions below on what information to include in the Detailed Budget form. IMLS has described each cost category included on the Detailed Budget form, as well as the information that the applicant should include in this section. It shows full project costs in each category for all years.

**2. DETAILED BUDGET****Project Costs**

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see Indirect Costs below) are not charged to the project as direct costs. It should be completed for each year (12 months) of project activities. It should be duplicated, one set for each year of your project. It should clearly and specifically identify sources of contributions. For third-party contributions, it must indicate whether the contributions are assured or pending.

### **Fringe Benefits**

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

### **Travel Costs**

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

### **Equipment**

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

### **Services**

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization.

### **Indirect Costs (Overhead)**

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

- Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency, may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant's cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts. For example, if your total request to IMLS is \$100,000, and \$20,000 will be spent on a contractor to do digitization of collections, and \$10,000 will be spent on a piece of equipment, then your modified direct costs would be \$80,000 (since you must subtract any amount over \$5,000 for large

contracts and equipment when doing this calculation). Then your indirect costs are 15 percent of \$80,000, or \$12,000 (\$100,000 total request - \$15,000 of contractor cost - \$5,000 of equipment cost = \$80,000 modified direct costs).

- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.
- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.
- An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current at the time the award is made. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

### **3. BUDGET JUSTIFICATION**

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested. IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third party service providers should be documented by bids or otherwise justified. It should be no more than two single-spaced pages.

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**SPECIFICATIONS  
FOR PROJECTS  
THAT DEVELOP  
DIGITAL  
PRODUCTS**

For a list of resources on digitization projects that can help applicants complete this form, see page 2.4. This list is intended to assist applicants in learning more about digitization projects and is neither exhaustive nor an endorsement by IMLS of any particular resource.

The Specifications for Projects That Develop Digital Products form is on pages 5.10–5.12. If there is not enough room on the form for your answers, you may copy the questions and provide answers on a separate page.

**PART 1**

Complete the appropriate sections. Select box A, B, C, or any combination of these boxes, depending on the original material you will be working with and the digital products you will develop.

**Box A. Converting Nondigital Material to Digital Format**

1. Explain the types of original **nondigital** materials you will select for digitization, such as text, photographs, three-dimensional art objects, archaeological artifacts, maps, motion pictures, video, etc., and give the quantity of each type. (For audio, video, and motion picture materials, give the total number of minutes or hours to be digitized.) Describe the original format of each type of material you will digitize.
2. Identify all use or access restrictions covering the original material you will digitize. Check the intellectual property condition and give the corresponding percentage of the original material to be digitized for which restrictions exist.
3. Describe the terms of access and use that will apply to the newly digitized material being created by the project. Identify and explain any restrictions that will apply to the digitized material, and specify what percentage if any of the total material will be subject to restrictions. (Examples are copyright, no downloading, registration, etc.)
4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project (such as cameras with zoom capability, scanners, servers, motorized object rigs, etc.). Equipment and software must be described, whether you will do the digitization in-house or outsource it to a contractor or partner.

**Box B. Creating New Digital Content**

1. Explain the types of digital content you will **create**, such as digital text (e.g., oral history transcripts), photographs, video, audio, Web files, etc., and give the quantity of each type.
2. Describe your plan to obtain releases/permissions from project content creators (e.g., filmmakers) and subjects (e.g., oral history interviewees).

3. Describe the disposition of ownership of the new product. Describe how the new product will be made available to the public. Explain the terms of access and conditions of use. Identify and explain any restrictions that will apply to the new product, and specify what percentage if any of the total material will be subject to restrictions.

4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project (e.g., camera, audio recording equipment, video recording equipment, encoding software, server). Equipment must be described whether you will create the content in-house or outsource it to a contractor or partner.

### **Box C. Repurposing Existing Digital Content**

1. Explain the original materials whose **digital** form you will repurpose, such as digital text (e.g., oral history transcripts), photographs, video, audio, Web files, etc., and give the number of each type. Describe the **digital format** and the amount of the material you will repurpose.

2. Identify copyright and other potential restrictions with regard to the original digital material. Check the intellectual property condition and give the corresponding percentage of the digital material to be repurposed.

3. Describe the terms of access and use of the repurposed digital material. Identify and explain any restrictions that will apply to the repurposed digital material, and specify what percentage if any of the total material will be subject to restrictions. (Examples are copyright, no downloading, registration, etc.)

4. Explain what equipment and software will be used and include specifications that are relevant to the work of the project. Equipment must be described whether you will do the repurposing in-house or outsource it to a contractor or partner.

## **PART II**

Answer all questions.

1. Specify the file formats to be produced and the anticipated quality of each format (e.g., minimum resolution, depth, tone, pixel dimensions, file size, sampling rate, compression ratio, frames per second). If watermarks or other features will be used, explain. Provide information for master, access, and thumbnail versions.

2. Describe the medium that you will use to deliver the digital material (e.g., Internet streaming or download, broadcast, DVD).

3. Describe the underlying software to manage and/or present the content (e.g., DSpace, Fedora, ContentDM).

4. Describe your plan for ensuring the technical quality of the digital product.

5. Explain how descriptive and administrative metadata will be produced and used to describe and manage the content. Include the standards that will be used for data

structure, content (e.g., thesauri), protocols, preservation and administrative information, and communication of the content (e.g., MARC, EAD, Dublin Core, PBCore, VRA Core Categories, Categories for the Description of Works of Art).

6. Describe plans for preserving and maintaining the digital material during and after the grant period. The plan should cover storage systems and media to be used, migration plans, maintenance responsibilities, and commitment of institutional funding support.

7. If content will be provided on the Internet, indicate agreement to submit collection level records for digital products to the IMLS Digital Collection and Content Registry. State reasons for selecting alternative approaches.

8. Provide URL(s) for applicant's previously digitized collections, if applicable. If the proposed digital collection will differ substantially in look and feel from collections you previously digitized, explain what the differences will be.

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#### **PROOF OF NON- PROFIT STATUS**

If your organization is a private, non profit organization (if you answered "Private Nonprofit" or "Other" on Line 26 of the Face Sheet).

- You must submit a copy of the IRS letter indicating your organization's eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.
- IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

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#### **PARTNERSHIP STATEMENT**

A sample group Partnership Statement is provided on page 5.14. The Partnership Statement must confirm all conditions identified on page 1.4 of these guidelines.

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#### **ORGANIZATIONAL PROFILE(S)**

The applicant and each official partner, as listed in question 10 of the 21st Century Museum Professionals Information Form, must provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable), and where within the organization the responsibility for the management of the proposed project activities would be assigned.

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#### **LIST OF KEY PROJECT STAFF AND CONSULTANTS**

A one-page list of all key museum staff and consultants for the project is required. If a name appears on this list, there must be a resume to accompany it.

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#### **RESUMES**

- Resumes or vitae of no more than two pages each for all key personnel (both staff and consultants) must be included.
- If staff is to be hired with grant funds, then include a one-page position description of the qualifications of the person to be hired for the project. Each position description must specify the amount and type of experience required, the level of education required, and the precise role that person will play in the project.



- If you have not chosen your key project personnel by the application deadline date, you must submit position descriptions instead of resumes. Since 21st Century Museum Professionals application reviewers rely on resumes and letters of commitment (see below) to determine the success of a project, if you have not chosen your personnel, you will be at a competitive disadvantage.

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**LETTERS OF  
COMMITMENT**

You must submit a letter of commitment for each project consultant. The letter should include

- confirmation that the consultant will work on the project if funded
- dates of service, scope of work, and fee structure

The information in this letter must correspond to the information in your application narrative.

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**ATTACHMENTS**

Attachments are documents that specifically relate to the justification for the project, but are optional.

- IMLS encourages applicants to include only information that will supplement the narrative, and support the information provided in the application. Applicants should not use attachments to answer narrative questions.
- IMLS strongly encourages inclusion of needs assessments (formal or informal documentation used to evaluate and plan projects, which can include surveys, reports, etc.), reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature, or other documents for the evaluation of the proposal.
- Other attachments could include letters of support from partners or other groups that the museum works closely with on this project, collections, technology, or other departmental plans for the institution as applicable to the proposed project.
- Total attachments are limited to 20 one- or two-sided pages. This includes any books. If they are more than 20 pages in length, they will not be included in your application, and cannot be returned to the applicant.
- IMLS will remove any supplemental materials above the 20-page limit. They will not be sent to field reviewers as part of your application, and cannot be returned to the applicant.



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**ASSEMBLING  
AND SENDING  
THE APPLICATION  
TO IMLS**

## How to Assemble the Application Package

Review your application package carefully before sending it to us. You must include all of the required items listed below in the original and ten copies that you send to IMLS. Your application is subject to rejection without review if any required item is missing. If you have any questions, contact IMLS at (202) 653-4789.

### ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

#### STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.

Extra  
Face Sheet  
(including the  
21MP  
Information  
Form)  
(Copy 1)

Extra  
Face Sheet  
(including the  
21MP  
Information  
Form)  
(Copy 2)

#### STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:

Face Sheet  
with Signature  
and 21MP  
Information  
Forms (4 pages)

Narrative

Schedule of  
Completion

Summary  
Budget

Detailed  
Budget  
by Year

Budget  
Justification

Current,  
federally  
negotiated rate  
for indirect  
costs, if  
applicable

Specifications  
for projects  
involving  
digitization, if  
applicable

Proof of Non-  
profit status,  
if applicable

Partnership  
Statement, if  
applicable

Organizational  
Profile(s)

List of Key  
Project  
Personnel

Resume(s)  
(2 pages per  
person)

Letters of  
Commitment

Attachments,  
if applicable

**STEP 3: MAKE 10 IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.**

**STEP 4: COLLATE YOUR PILES FROM STEPS 1-3 AS FOLLOWS:**

Extra  
Face Sheets  
(2 Copies)

**STEP 1**

Original  
Application

**STEP 2**

Ten (10)  
copies of the  
application

**STEP 3**

**PLEASE DO NOT USE STAPLES TO FASTEN EACH COPY OF THE APPLICATION. PLEASE USE BINDER CLIPS OR OTHER REMOVABLE BINDING SYSTEMS.**

**YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.**

***Note: IMLS will not do your photocopying or collating!***

## Sending the Application to IMLS

Ship 21st Century Museum Professional Grant applications to:

**21st Century Museum Professionals Grants Postmarked by March 15, 2006**

Office of Museum Services

Institute of Museum and Library Services

1800 M Street, NW, 9th Floor

Washington, DC 20036-5802

### SHIPPING

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All first-class and Priority mail sent through the U.S. Postal Service to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g., CDs, videos, slides) put through the irradiation process suffer irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. post offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

### HAND DELIVERY

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and federal holidays. IMLS will provide a dated receipt at the time of delivery.

### IMLS ACKNOWLEDGMENT

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application number. If this form is not received, contact IMLS to make sure the application was received.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

### PROOF OF SHIPPING

- IMLS may ask for proof of shipping if the date on the package cannot be read.
- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date-stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.

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**APPLICATION  
FORMS**

## Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order.

- ☐ Face Sheet (2 pages)
- ☐ 21st Century Museum Professionals Information Form (2 pages)
- ☐ Explanation of budget deficit or surplus, if applicable
- ☐ Narrative (not to exceed 7 pages)
- ☐ Schedule of Completion
- ☐ Project Budget Forms
  - ☐ Summary Budget
  - ☐ Detailed Budget
  - ☐ Budget Justification
- ☐ Proof of current, federally negotiated rate for indirect costs, if applicable
- ☐ Specifications for projects that develop digital products, if applicable
- ☐ Proof of nonprofit status, if applicable
- ☐ Partnership Statement, if applicable
- ☐ Organizational Profile(s)
- ☐ List of key project staff and consultants
- ☐ Resume(s) for key project personnel (not to exceed 2 pages per person)
- ☐ Letters of Commitment
- ☐ Attachments (not to exceed 20 pages)



## IMLS Face Sheet

OMB No. 3137-0057

Exp. 1/31/2008

CFDA No. 45.307

**1. APPLICANT ORGANIZATION**

Legal Name \_\_\_\_\_  
Address 1 \_\_\_\_\_  
Address 2 \_\_\_\_\_  
City \_\_\_\_\_ County \_\_\_\_\_ State \_\_\_\_\_  
Zip + 4/Postal Code \_\_\_\_\_ Congressional District \_\_\_\_\_  
DUNS Number \_\_\_\_\_ Employer Identification Number (EIN/TIN) \_\_\_\_\_  
Web Address http:// \_\_\_\_\_

**2. PROJECT INFORMATION**

Project Title \_\_\_\_\_  
Project Description \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Grant Period Start Date \_\_\_\_\_ End Date \_\_\_\_\_  
(must begin between 10/1/06-12/1/06)

**3. PROJECT DIRECTOR**

Prefix \_\_\_\_\_ First Name \_\_\_\_\_ Middle Initial \_\_\_\_\_  
Last Name \_\_\_\_\_ Suffix \_\_\_\_\_  
Title \_\_\_\_\_  
Address 1 \_\_\_\_\_  
Address 2 \_\_\_\_\_  
City \_\_\_\_\_ County \_\_\_\_\_ State \_\_\_\_\_  
Zip + 4/Postal Code \_\_\_\_\_ E-mail \_\_\_\_\_  
Phone \_\_\_\_\_ Fax \_\_\_\_\_

**4. PRIMARY CONTACT/GRANTS ADMINISTRATOR****Same as Project Director (skip to item 5) ☐**

Prefix \_\_\_\_\_ First Name \_\_\_\_\_ Middle Initial \_\_\_\_\_  
Last Name \_\_\_\_\_ Suffix \_\_\_\_\_  
Title \_\_\_\_\_  
Address 1 \_\_\_\_\_  
Address 2 \_\_\_\_\_  
City \_\_\_\_\_ County \_\_\_\_\_ State \_\_\_\_\_  
Zip + 4/Postal Code \_\_\_\_\_ E-mail \_\_\_\_\_  
Phone \_\_\_\_\_ Fax \_\_\_\_\_

**CONTINUE TO LINE 5**

**5. TYPE OF APPLICANT: CHECK THE ONE APPLICANT TYPE THAT APPLIES**

- ☐ State Government  
☐ County Government  
☐ City or Township Government  
☐ Special District Government  
☐ Regional Organization  
☐ U.S. Territory or Possession  
☐ Independent School District  
☐ Public/State Controlled Institution of Higher Learning  
☐ Indian/Native American Tribal Government (federally recognized)  
☐ Indian/Native American Tribal Government (other than federally recognized)  
☐ Indian/Native American Tribally Designated Organization  
☐ Public/Indian Housing Authority  
☐ Nonprofit with 501(C)(3) IRS Status (other than institution of higher education)  
☐ Nonprofit without 501(C)(3) IRS Status (other than institution of higher education)  
☐ Private Institution of Higher Education  
☐ Individual  
☐ For-Profit Organization (other than small business)  
☐ Small Business  
☐ Hispanic-Serving Institution  
☐ Historically Black Colleges and Universities (HBCUs)  
☐ Tribally Controlled Colleges and Universities (TCCUs)  
☐ Alaska Native and Native Hawaiian Serving Institutions  
☐ Non-Domestic (non-U.S.) Entity  
☐ Other (specify)\_\_\_\_\_

**6. AUTHORIZED REPRESENTATIVE/AUTHORIZING OFFICIAL**

By signing the application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

(U.S. Code, Title 218, Section 1001)

☐ I Agree

\*\*Certifications and Assurances are set forth in the IMLS guidelines for the program to which application is made.

Prefix \_\_\_\_\_ First Name \_\_\_\_\_ Middle Initial \_\_\_\_\_  
 Last Name \_\_\_\_\_ Suffix \_\_\_\_\_  
 Title \_\_\_\_\_  
 E-mail \_\_\_\_\_ Phone \_\_\_\_\_ Fax \_\_\_\_\_

\_\_\_\_\_  
 Signature of Authorized Representative/Authorizing Official

\_\_\_\_\_  
 Date Signed

## 21<sup>st</sup> Century Museum Professionals Information

1. Legal Name \_\_\_\_\_  
 Organizational Unit (if different from Legal Name) \_\_\_\_\_  
 Address \_\_\_\_\_ City \_\_\_\_\_  
 County \_\_\_\_\_ State \_\_\_\_\_ Zip+4/Postal Code \_\_\_\_\_

2. Type of organization (check one)

- ☐ State museum agency  
☐ Institute of higher learning  
☐ Museum services organization or association  
☐ Aquarium  
☐ Arboretum/botanic garden  
☐ Art museum  
☐ Children's/youth museum  
☐ General museum\*  
☐ Historic house/site  
☐ History museum  
☐ Natural history museum  
☐ Nature center  
☐ Planetarium  
☐ Science/technology museum  
☐ Specialized museum  
☐ Zoological society

\* A museum with collections representing two or more disciplines equally (e.g., art and history)

\*\* A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group)

3. Number of full-time paid museum staff \_\_\_\_\_ 4. Number of part-time paid museum staff \_\_\_\_\_

5. Number of full-time unpaid museum staff \_\_\_\_\_ 6. Number of part-time unpaid museum staff \_\_\_\_\_

7.

Fiscal Year	Revenue/ Support/Income	Expenses/ Outlays	Budget Deficit (if applicable)**	Budget Surplus (if applicable)**
Most recently completed FY 20____	\$ _____	\$ _____	(\$ _____)	\$ _____
Second most recently completed FY 20____	\$ _____	\$ _____	(\$ _____)	\$ _____

*\*\* If Institution has a budget deficit or surplus for either of the two most recently completed fiscal years, please attach a single sheet behind this face sheet to explain the circumstances of this deficit or surplus.*

8. Total Amount Requested \$ \_\_\_\_\_ .00

9. Amount of Cost Share \$ \_\_\_\_\_ .00

**CONTINUE TO LINE 10**

10. In the space below, include the names of any organizations that are official partners of the project.

11. Summary of project activities (2,000 maximum character count):

# Project Budget Form

## SECTION 1: SUMMARY BUDGET

Name of Applicant Organization \_\_\_\_\_

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.5–3.7 BEFORE PROCEEDING.

### DIRECT COSTS

	IMLS	Cost Share	Total
SALARIES & WAGES	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____
CONSULTANT FEES	_____	_____	_____
TRAVEL	_____	_____	_____
MATERIALS, SUPPLIES, & EQUIPMENT	_____	_____	_____
SERVICES	_____	_____	_____
OTHER	_____	_____	_____
<b>TOTAL DIRECT COSTS</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>
<b>INDIRECT COSTS</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>
	<b>TOTAL PROJECT COSTS</b>		<b>\$ _____</b>

**AMOUNT OF COST SHARE** \$ \_\_\_\_\_

**AMOUNT OF IN-KIND CONTRIBUTIONS** \$ \_\_\_\_\_

**TOTAL AMOUNT OF COST SHARE (CASH & IN-KIND CONTRIBUTIONS)** \$ \_\_\_\_\_

**AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS** \$ \_\_\_\_\_

**PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS** \_\_\_\_\_ %  
(MAY NOT EXCEED 50%)

Have you received or requested funds for any of these project activities from another federal agency?  
(Please check one) ☐ Yes ☐ No

If yes, name of agency \_\_\_\_\_

Request/Award amount \_\_\_\_\_

# Project Budget Form

## SECTION 2: 21ST CENTURY MUSEUM PROFESSIONALS DETAILED BUDGET

Year ☐ 1 ☐ 2 ☐ 3 – Budget Period from \_\_\_\_/\_\_\_\_/\_\_\_\_ to \_\_\_\_/\_\_\_\_/\_\_\_\_

Name of Applicant Organization \_\_\_\_\_

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.5–3.7 BEFORE PROCEEDING.

### SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	( )	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____
<b>TOTAL SALARIES AND WAGES \$</b>			_____	_____	_____

### SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	( )	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____
<b>TOTAL SALARIES AND WAGES \$</b>			_____	_____	_____

### FRINGE BENEFITS

RATE		SALARY BASE	IMLS	COST SHARE	TOTAL
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____
<b>TOTAL FRINGE BENEFITS \$</b>			_____	_____	_____

### CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS OR HOURS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL CONSULTANT FEES \$</b>			_____	_____	_____

### TRAVEL

FROM/TO	NUMBER OF: PERSONS	DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
_____	( )	( )	_____	_____	_____	_____	_____
_____	( )	( )	_____	_____	_____	_____	_____
_____	( )	( )	_____	_____	_____	_____	_____
_____	( )	( )	_____	_____	_____	_____	_____
<b>TOTAL TRAVEL COSTS \$</b>					_____	_____	_____

# Project Budget Form

## SECTION 2: 21ST CENTURY MUSEUM PROFESSIONALS DETAILED BUDGET

Year ☐ 1 ☐ 2 ☐ 3

### MATERIALS, SUPPLIES, AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
<b>TOTAL COST OF MATERIALS, SUPPLIES, &amp; EQUIPMENT</b>		<b>\$</b>	_____	_____

### SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
<b>TOTAL SERVICES COSTS</b>		<b>\$</b>	_____	_____

### OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
<b>TOTAL OTHER COSTS</b>		<b>\$</b>	_____	_____

<b>TOTAL DIRECT PROJECT COSTS</b>	<b>\$</b>	_____	_____	_____
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### INDIRECT COSTS

Read the instructions about Indirect Costs on pages 3.6–3.7 before completing this section.

Applicant organization is using (check one)

- ☐ An indirect cost rate that does not exceed 15 percent  
☐ A current, federally negotiated indirect cost rate

\_\_\_\_\_  
Name of Federal Agency

\_\_\_\_\_  
Expiration Date of Agreement

- ☐ A proposed rate while negotiating a federally negotiated indirect cost rate (must include the indirect cost proposal in the application material)

\_\_\_\_\_  
Name of Federal Agency

\_\_\_\_\_  
Date of initial proposal

### Indirect Cost Calculations

\_\_\_\_\_% of \$\_\_\_\_\_ (modified direct IMLS costs) = \$\_\_\_\_\_ IMLS indirect portion

\_\_\_\_\_% of \$\_\_\_\_\_ (modified direct cost share costs) = \$\_\_\_\_\_ cost share indirect portion

Total indirect costs = \$\_\_\_\_\_

# Specifications for Projects That Develop Digital Products

Part I. Complete the appropriate sections:

## A. Converting Non-Digital Material to Digital Format

1. Describe types and original formats of materials to be selected for digitization and quantity of each.  
\_\_\_\_\_
2. Identify copyright issues and other potential restrictions with regard to the original non-digital material.  
☐ Public domain \_\_\_\_ % of total      ☐ Permissions have been obtained \_\_\_\_ % of total  
☐ Permissions to be requested \_\_\_\_ % of total. Plan to address: \_\_\_\_\_  
☐ Privacy concerns \_\_\_\_ % of total Plan to address: \_\_\_\_\_  
☐ Other \_\_\_\_ % of total - Explain. \_\_\_\_\_
3. Describe how the newly digitized material will be made available to the public. Explain the terms of access and conditions of use. Identify and explain any restrictions that will apply to digitized material, and specify what percentage if any of the total material will be subject to restrictions.  
\_\_\_\_\_  
\_\_\_\_\_
4. List the equipment and software, with specifications, whether purchased, leased or outsourced, that will be used (e.g., camera, scanner, server, A/D audio or video converter):  
\_\_\_\_\_  
\_\_\_\_\_

## B. Creating New Digital Content

1. Describe types of materials to be created in digital form and quantity of each.  
\_\_\_\_\_  
\_\_\_\_\_
2. Describe plan to obtain releases/permissions from project content creators and subjects.  
\_\_\_\_\_  
\_\_\_\_\_
3. Describe disposition of ownership. of the new product. Describe how the new product will be made available to the public. Explain the terms of access and conditions of use. Identify and explain any restrictions that will apply to the new content, and specify what percentage if any of the total material will be subject to restrictions.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. List the equipment and software, with specifications, whether purchased, leased or outsourced, that will be used (e.g., camera, audio recording equipment, video recording equipment, encoding software, server).  
\_\_\_\_\_  
\_\_\_\_\_



**C. Repurposing Existing Digital Content**

1. Describe types and formats of digital materials to be selected for repurposing and quantity of each.  
\_\_\_\_\_
2. Identify copyright issues and other potential restrictions with regard to the original digital material.  
☐ Public domain \_\_\_\_ % of total      ☐ Permissions have been obtained \_\_\_\_ % of total  
☐ Permissions to be requested \_\_\_\_ % of total - Plan to address: \_\_\_\_\_  
☐ Privacy concerns - \_\_\_\_ % of total Plan to address: \_\_\_\_\_  
☐ Other \_\_\_\_ % of total - Explain. \_\_\_\_\_
3. Describe how the repurposed material will be made available to the public. Explain the terms of access and conditions of use. Identify and explain any restrictions that will apply to the repurposed material, and specify what percentage if any of the total material will be subject to restrictions.  
\_\_\_\_\_  
\_\_\_\_\_
4. List the equipment and software, with specifications, whether purchased, leased or outsourced, that will be used (e.g. MPEG encoder, non-linear editing system, GIS software).  
\_\_\_\_\_  
\_\_\_\_\_

**Part II. Answer all questions:**

5. Specify each type of file format (e.g., TIFF, JPEG, MPEG) to be produced and anticipated quality (e.g. minimum resolution, depth, tone, pixel dimensions, file size, sampling rate) of each.  
 Master \_\_\_\_\_  
 Access \_\_\_\_\_  
 Thumbnail \_\_\_\_\_
6. Describe the delivery medium that will be used (e.g. Internet, broadcast, DVD). \_\_\_\_\_
7. Describe the underlying software to manage and/or present the content (e.g. DSpace, Fedora, Content-DM). \_\_\_\_\_
8. Describe the quality control plan. \_\_\_\_\_
9. Explain how descriptive and administrative metadata will be produced and used to describe and manage the content. Include the standards that will be used for data structure, content (e.g. thesauri), protocols, preservation and administrative information and communication of the content (e.g., MARC, EAD, Dublin Core, PBCore, VRA Core Categories, or Categories for the Description of Works of Art).  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period (i.e., storage systems, migration plans and commitment of institutional funding).

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11. If content will be provided on the Internet, indicate agreement to submit collection level records for digital products to the IMLS Digital Collections Registry. State reasons for selecting alternative approaches.

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12. Provide URL(s) for applicant's previous digital products, if applicable.

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## Partnership Statement

Use this format to provide information on each formal partnership. Information about partnership applications is on page 1.4. All partners must sign a Partnership Statement.

1. Applicant organization (partner 1) name: \_\_\_\_\_
2. Partner organization name: \_\_\_\_\_
3. List the partner's key roles and responsibilities in the project:

We, the undersigned partner organization, agree to the following:

- We will carry out the activities described above and in the application Narrative.
- We will use any federal funds we receive from the applicant organization in accordance with applicable federal laws and regulations as set forth in the program guidelines and the terms and conditions of the grant award.
- We assure that our facilities and programs comply with the applicable federal requirements and laws as set forth in the program guidelines.

\_\_\_\_\_  
Signature of Partner Authorized Representative/Authorizing Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Partner Authorized Representative/Authorizing Official  
(Type or Print)

## Organizational Profile

Provide a separate organizational profile for the applicant and for each formal partner. Information about partnership applications is on page 1.4. All formal partners also must sign a Partnership Statement (see p. 5.14).

**For the lead applicant:**

1. Applicant organization name: \_\_\_\_\_
2. Organization mission: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. Organization service area (audience served, including size, demographic characteristics, and geographic area): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**For each formal partner:**

1. Partner organization name: \_\_\_\_\_
2. Partner DUNS number: \_\_\_\_\_
3. Partner mailing address: \_\_\_\_\_
4. Partner project contact name: \_\_\_\_\_  
Title: \_\_\_\_\_ Phone: \_\_\_\_\_  
E-mail: \_\_\_\_\_
5. Governing control of partner (choose one):  
☐ State ☐ County ☐ Municipality ☐ Private nonprofit ☐ University  
☐ Tribal government  
☐ Other (please specify): \_\_\_\_\_
6. Partner type of organization (from list on 21st Century Museum Professionals Grants Program Information form, p. 5.14): \_\_\_\_\_
7. Partner organization mission: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
8. Partner organization service area (audience served, including size, demographic characteristics, and geographic area): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## IMLS Assurances

*IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, nondiscrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. The authorized representative/authorizing official must review the statement and sign the certification in item 6 on the Application Face Sheet, page 5.4. If you receive a grant, you must comply with these requirements.*

### ASSURANCES STATEMENT

By signing the application form, the authorized representative/authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations, which are available from IMLS upon request. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the U.S. government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

#### I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

##### **FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY**

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the nonfederal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of all applicable OMB circulars and all relevant IMLS regulations.

##### **FEDERAL DEBT STATUS**

The authorized representative/authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

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**DEBARMENT  
AND  
SUSPENSION**

- The authorized representative/authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:
- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
  - (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) are not currently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
  - (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

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**NON-  
DISCRIMINATION**

- The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:
- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
  - (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
  - (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-83, 1685-86), which prohibits discrimination on the basis of gender in education programs; and
  - (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

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**DRUG-FREE  
WORKPLACE  
ACT OF  
1988**

- (A) The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
  - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
  - (b) establishing an ongoing drug-free awareness program to inform employees about:
    - (1) the dangers of drug abuse in the workplace;
    - (2) the grantee's policy of maintaining a drug-free workplace;
    - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
  - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
    - (1) abide by the terms of the statement; and
    - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
  - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
  - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
    - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
    - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law, or other appropriate agency; and
  - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION  
REGARDING  
LOBBYING  
ACTIVITIES  
(APPLIES  
TO  
APPLICANTS  
REQUESTING  
FUNDS IN  
EXCESS OF  
\$100,000)**

The authorized representative/authorizing official certifies, to the best of his or her knowledge and belief that

- (a) no federally appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of a federal contract; the making of a federal grant; the making of a federal loan; the entering into a cooperative agreement; or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement;
- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorized representative/authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and



- (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts; subgrants; and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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**GENERAL  
CERTIFICATION**

The authorized representative/authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program. IMLS grant regulations may be found at 45 CFR Part 1180 et seq.

**II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS**

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

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**SUBAGREEMENTS**

Applicants who plan to use awards to fund subgrants, contracts, and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (a) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (b) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
  - (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are currently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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**NATIVE  
AMERICAN  
HUMAN  
REMAINS  
AND  
ASSOCIATED  
FUNERARY  
OBJECTS**

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

## **HISTORIC PROPERTIES**

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in ensuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

## **ENVIRONMENTAL PROTECTIONS**

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and E.O.11514;
- (b) notification of violating facilities pursuant to E.O.11738;
- (c) protection of wetlands pursuant to E.O.11990, as amended E.O.12608;
- (d) evaluation of flood hazards in floodplains in accordance with E.O.11988, as amended;
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorized representative/authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

## **RESEARCH ON HUMAN AND ANIMAL SUBJECTS**

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

The authorized representative/authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by this award of assistance.

*For further information on these certifications, contact IMLS, 1800 M Street, NW, 9th Floor, Washington, DC 20036, or call (202) 653-4657.*

# 21<sup>st</sup> CENTURY MUSEUM PROFESSIONALS APPLICATION TIPS

## **TO MAKE YOUR APPLICATION MORE COMPETITIVE...**

- The most successful proposals are focused projects with a defined beginning, middle and end.
- When asking for funds for staff time on a new project, please explain how the regular duties of that staff person will also be accomplished.
- When requesting funds for new staff, explain how each position will be supported after the grant period is over.
- Make sure to discuss long-term impact of any project.
- Overall institutional marketing is not allowed under Federal rules, but you are encouraged to discuss publicity of grant funded activities to the intended audience(s).
- Attachments are optional information that is supplemental to the information provided in the narrative and other required parts of the application. Do not rely on your attachments to tell your story and do not make reviewers hunt through attachments to understand your project.
- Resubmissions are welcome! If you have applied in the past, but were not funded, we encourage you to take a look at your reviewer comments, and revise your application and resubmit it. A number of applications have been funded after being revised and resubmitted.

## **AND REMEMBER...**

- Please use IMLS staff as a resource. If you have any questions, don't hesitate to call or e-mail us!
- Double-check all math calculations with a calculator; make sure the detail and summary budget sheets add up to the same totals.
- Check narrative and other text for grammar and spelling errors.
- Do not repeat information in multiple narrative sections.
- Ensure all project contact information is correct, including email and phone numbers.
- Budget amounts referred to in the narrative should match the numbers on the budget sheets for the project.
- When including institutional budget information, make sure to include relevant notes that explain these statements.
- The person designated as your Authorizing Official will receive all correspondence from IMLS, including receipt of application and notification of award. Please make sure that their contact information is current.

IMLS programs do not discriminate on the basis of race, color, national origin, gender, handicap, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, Washington, DC 20036-5802.



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